

<p style="text-align: center;">SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT</p> <p>Address to: Mail Stop Commissioner for Patents P.O. Box 1450 Alexandria, VA 22313-1450</p>	Attorney Docket	ASIL-002CIP
	First Named Inventor	HILL, CRAIG
	Application Number	09/707,730
	Filing Date	November 6, 2000
	Group Art Unit	1647
	Examiner Name	LANDSMAN, ROBERT S.
	Title:	<i>"COMPOUNDS FOR INTRACELLULAR DELIVERY OF THERAPEUTIC MOIETIES TO NERVE CELLS"</i>

Sir:

This is an Information Disclosure Statement submitted for the Examiner's consideration. This is being filed *after* three months of the filing date of this national application or the date of entry of the national stage as set forth in §1.491 in an international application or *after* the mailing date of the first Office Action on the merits, whichever event occurred last, but *before* the mailing date of either a final action under §1.113 or a notice of allowance under §1.311, whichever occurs first.

A Form PTO-SB/08A listing the references accompanies this paper. Applicants would appreciate the Examiner's initialing and returning the form to indicate that the references have been reviewed and made of record.

- X All of the references identified herein are being submitted prior to the final determination on patentability by the Office.
- All of the references identified herein were cited in an International (PCT) Search Report dated *, in a PCT application corresponding to the above-identified U.S. application. A copy of the Search Report, including an indication of the purported relevance of the cited documents, is enclosed herewith. Copies of the references are submitted herewith.
- All of the references identified herein were disclosed in parent application Serial No. 09/217,037 and, as such, copies thereof are not included pursuant to the provisions of 37 C.F.R. §1.98(d), except if noted below.

This Information Disclosure Statement is not intended as a representation that a search has been made, that additional information material to the examination of this application does not exist, or that any one of the above references constitutes prior art to the present application within the meaning of 35 U.S.C. §102.

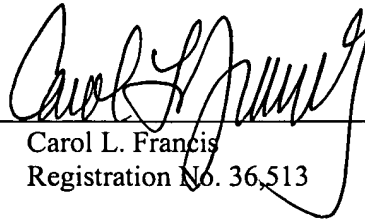
X Please charge the \$180.00 fee required by 37 C.F.R. §1.97(c) and set forth in 37 C.F.R. 1.17(p) and any additional fees which may be required by this paper or any fees under 37 C.F.R. §§ 1.16, 1.17 and 1.21, or to credit any overpayment, to Deposit Account No. 50-0815, order number ASIL-002CIP.

Respectfully submitted,
BOZICEVIC, FIELD & FRANCIS LLP

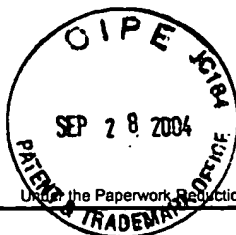
Date:

Sept 28, 2004

By:


Carol L. Francis
Registration No. 36,513

BOZICEVIC, FIELD & FRANCIS LLP
1900 University Avenue, Suite 200
East Palo Alto, CA 94303
Telephone: (650) 327-3400
Facsimile: (650) 327-3231



PTO/SB/08a (05-03)

Approved for use through 04/30/2003. OMB 0651-0031

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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Substitute for form 1449A/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>(use as many sheets as necessary)</i>		Complete if Known	
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		Filing Date	November 6, 2000
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		Art Unit	1647
Examiner Name	LANDSMAN, ROBERT S.		
Sheet 1 of 3	Attorney Docket Number	ASIL-002CIP	

U.S. PATENT DOCUMENTS						
Examiner Initials ¹	Cite No. ¹	Document Number		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code ² (if known)				
		US-				
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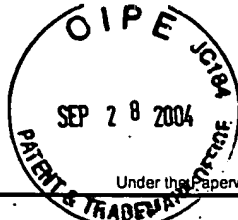
FOREIGN PATENT DOCUMENTS							
Examiner Initials ¹	Cite No. ¹	Foreign Patent Document		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ⁶
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OTHER ART—NON PATENT LITERATURE DOCUMENTS			
Examiner Initials ¹	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T ²
		AGARWAL, et al., "Effects of dexamethasone (DEX) on growth factor and neurotrophin mRNA expression by cultured human trabecular meshwork cells", IOVS (March 15, 1999) vol. 40, no. 4, pp. S667 (Ann Mtg. of the Assoc for Research in Vision and Ophthalmology Fort Lauderdale, Florida, USA May 9-14, 1999)	
		GONZALEZ, et al., "Glucocorticoid regulation of motoneuronal parameters in rats with spinal cord injury", Cellular and Molecular Neurobiology, (Oct., 1999) vol. 19, no. 5, pp. 597-611.	
		NEMOTO, et al., "A possible mechanism of TPA-mediated downregulation of neurotrophin-3 gene expression in rat cultured vascular smooth muscle cells", Molecular Brain Research, (May 7, 1999) vol. 68, no. 1-2, pp. 186-189.	
		SMITH, et al., "Regulation of NGFI-A (Egr-1) gene expression by the POU domain transcription factor Brn-3a", Brain Research, Molecular Brain Research, (1999 Dec. 10) 74 (1-2) 117-25.	
		SHI, et al., "Dexamethasone induces hypertrophy of developing medial septum cholinergic neurons: potential role of nerve growth factor", Journal of Neuroscience, (Nov. 15, 1998) vol. 18, no. 22, pp. 9326-9334.	

Examiner Signature		Date Considered	
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*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. 1 Applicant's unique citation designation number (optional). 2 Applicant is to place a check mark here if English language Translation is attached. This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 120 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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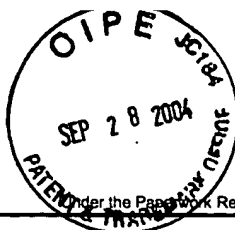
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		Filing Date	November 6, 2000
		First Named Inventor	HILL, CRAIG
		Art Unit	1647
		Examiner Name	LANDSMAN, ROBERT S.
Sheet 2 of 3	Attorney Docket Number	ASIL-002CIP	

	YANG, et al., "Dexamethasone inhibits ischemia-induced transient reduction of neurotrophin-3 mRNA in rat hippocampal neurons", Neuroreport, (Oct. 26, 1998) vol. 9, no. 15, pp. 3477-3480.	
	VERITY, et al., "Regulation of glial cell line-derived neurotrophic factor release from rat C6 glioblastoma cells", Journal of Neurochemistry, (Feb. 1998) vol. 70, no. 2, pp. 531-539.	
	BRANDOLI, et al., "Dexamethasone decreases P75NTR expression in injured spinal cord", Society for Neuroscience Abstracts, (1998) vol. 24, no. 1-2, pp. 290 (28 th Ann Mtg. of the Society for Neuroscience, Part 1)	
	PRODANOV, et al., "Pharmacology of apoptosis in the central nervous system", Farmatsiya, (Sofia) (1998), 45(2), 31-38.	
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	SEIDL, et al., "Expression of nerve growth factor and neurotrophin receptors in testicular cells suggest novel roles for neurotrophins outside the nervous system", Reproduction Fertility and Development, (1996) vol. 8, no. 7, pp. 1075-1087.	
	BARBANY, "Modulation of neurotrophins and their receptors by adrenal steroids", CNS Neurotransmitters and Neuromodulators: Neuroactive Steroids (1996), 113-125.	
	SCULLY, et al, "Neurotrophin expression modulated by glucocorticoids and oestrogen in immortalized hippocampal neurons", Molecular Brain Research, (1995) vol. 31, no. 1-2, pp. 158-164.	
	HIGAKI, et al., "Neurotrophin ^R inhibits lipopolysaccharide-induced nitric oxide production in cultured human endothelial cells", Cell structure and function, (1994) vol. 19, no. 6, pp. 555 (47 th Ann Mtg. of the Japan Society for Cell Biology, Nagasaki, Japan, September 28-30, 1994).	
	KONONEN, et al., "Neurotrophins and their receptors in the rat pituitary gland: regulation of BDNF and <i>trk B</i> mRNA levels by adrenal hormones", Molecular Brain Research, (1994) vol. 27, no. 2, pp. 347-354.	
	LINDHOLM, et al., "Glucocorticoids and neurotrophin gene regulation in the nervous system", Annals of the New York Academy of Sciences, (1994 Nov. 30) 746, 195-202.	
	JELSMA, et al., "Different forms of the neurotrophin receptor <i>trk B</i> mRNA predominate in rat retina and optic nerve", Journal of Neurobiology, (1993) vol. 24, no. 9, pp. 1207-1214.	

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Sheet	3	of	3	Attorney Docket Number	ASIL-002CIP

		BARBANY, et al., "Adrenalectomy attenuates kainic acid-elicited increases of messenger RNAs for neurotrophins and their receptors in the rat brain", Neuroscience, (1993) vol. 54, no. 4, pp. 909-922.	
		COSI, et al., "Glucocorticoids depress activity-dependent expression of BDNF mRNA in hippocampal neurons", Neuroreport, (1993) vol. 4, no. 5, pp. 527-530.	
		SCULLY, et al., "Modulation of neurotrophin expression by glucocorticoids in immortalized hippocampal neurons", Society for Neuroscience Abstract, (1993) vol. 19, no. 1-3, pp. 256 (23 rd Ann Mtg. of the Society for Neuroscience, Washington D.C., USA, November 7-12, 1993).	
		SCULLY, et al., "glucocorticoid modulation of neurotrophin expression in immortalized mouse hippocampal neurons", Neuroscience Letters, (1993) vol. 155, no. 1, pp. 11-14.	
		BARBANY, et al., "Regulation of Neurotrophin mRNA Expression in the rat brain by glucocorticoids", Eur J Neurosci, (1992) 4 (5) 396-403.	

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Atty/Sec: CLF/SFG

Atty Docket No. ASIL-002CIP Date Mailed: May 20, 2003
Application No.: 09/707,730 Filing Date: November 6, 2000

Inventor(s): HILL, CRAIG

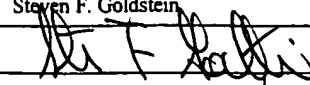
Title: "COMPOUNDS FOR INTRACELLULAR DELIVERY OF
THERAPEUTIC MOIETIES TO NERVE CELLS"

Enclosure(s):

- ❖ IDS Statement (1 Page)
- ❖ SB08A (1 Page)
- ❖ 4 cited References
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Signature		Date	May 20, 2003
INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. § 1.97(e) Address to: Assistant Commissioner for Patents Washington, D.C. 20231		Attorney Docket	ASIL-002CIP
		First Named Inventor	HILL, CRAIG
		Application Number	09/707,730
		Confirmation No.	8812
		Filing Date	November 6, 2000
		Group Art Unit	1647
		Examiner Name	LANDSMAN, ROBERT S.
		Title: "COMPOUNDS FOR INTRACELLULAR DELIVERY OF THERAPEUTIC MOIETIES TO NERVE CELLS"	

Sir:

Applicants submit herewith patents and/or publications which may be material to the examination of this application and in respect of which there may be a duty to disclose in accordance with 37 C.F.R. § 1.56. While this Statement may be "material" pursuant to 37 C.F.R. § 1.56, it is not intended to constitute an admission that any patent, publication, or other information referred to therein is "prior art" for this invention unless specifically designated as such. A listing of patents and/or publications is shown on enclosed Form PTO-SB/08A and a copy of each patent and/or publication is also enclosed.

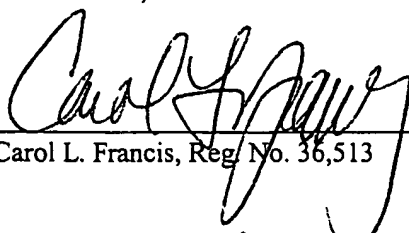
Each item of information contained in the Information Disclosure Statement filed herewith was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Statement (37 C.F.R. 1.97(e)(1)). A copy of the communication is enclosed for the Examiner's convenience.

The Examiner is requested to make the citations listed on the enclosed PTO-SB/08A of record in this application. Applicants would appreciate the Examiner initialing and returning the initialed copy of form PTO-SB/08A, indicating the references have been considered and made of record herein.

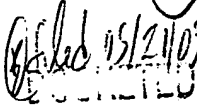
No fee is believed due as this statement is being submitted within three months of the mailing date of the enclosed foreign communication. However, if it is determined that fees are required, the Commissioner is hereby authorized to charge any necessary fees associated with this communication or credit any overpayment to Deposit Account No. 50-0815, Order No. ASIL-002CIP.

Respectfully submitted,
BOZICEVIC, FIELD & FRANCIS LLP

Date: May 20, 2003

By: 
Carol L. Francis, Reg. No. 36,513

BOZICEVIC, FIELD & FRANCIS LLP
200 Middlefield Road, Suite 200
Menlo Park, CA 94025
Telephone: (650) 327-3400
Facsimile: (650) 327-3231


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Sheet	1	of	1		

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		Number-Kind Code ² (if known)				
		US- 5,389,623		02-14-1995		
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		WO00/37103		06-29-2000	Xavos		
		WO01/91798(A2)		12-06-2001	Universite Catholique De Louvain		
		WO97/37966		10-16-1997	Vical Incorporated		

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